

Washington State Public Disclosure Commission

Information Technology Portfolio



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Section 1 - IT Portfolio Overview

This Information Technology portfolio overview provides a high-level description and analysis of the Public Disclosure Commission's Information Technology (IT) infrastructure in use today that satisfies current business requirements. The IT portfolio is an assemblage of information about the Commission's investments in its information technology infrastructure and processes. It is organized to show how these investments support the Commission's mission and programs and to demonstrate the relationships among current and planned investments.

The IT portfolio serves as a roadmap for key decision-makers to assess the probable impact of investments on the Commission's systems and infrastructure. These decision-makers include the Commission Members, agency Executive Director, Assistant Director and Chief Technology Officer. This also includes working with the Department of Information Services (DIS) management and operations support staff, Information Services Board (ISB) members, the Legislature and the Office of Financial Management.

The IT portfolio:

- Discloses links among Commission strategies, business plans and IT investments.
- Facilitates analysis of the risks associated with IT investments and helps ensure that appropriate risk management is undertaken.
- Provides a baseline for Commission and state-level performance reporting.

This document contains a summary of business strategies and corresponding IT strategies, the current technology infrastructure, current and planned projects, as well as potential investments under consideration. This information about the Commission's IT investments, both current and planned, is required for effective executive management and oversight of technology within the Commission.

The portfolio process is a dynamic one. Changes in the Commission's environment, triggered by shifts in Legislative or Executive priorities, will make it necessary to modify and amend the IT portfolio on an ongoing basis. The value obtained from the IT portfolio is dependent upon the effort put into it. The Commission will continue to build value into its IT portfolio, as changes to IT systems and infrastructure are required and implemented. It recognizes that in order for the portfolio to become an effective decision-making tool, a systematic process for planning, decision-making and maintenance must coexist with, and be supportive of, the portfolio.

Convergence of Business Mission and Information Technology Vision

Mission Statement

The Public Disclosure Commission was created and empowered by Initiative of the People to provide timely and meaningful public access to information about the financing of political campaigns, lobbyist expenditures, and the financial affairs of public officials and candidates, and to ensure compliance with disclosure provisions, contribution limits, campaign practices and other campaign finance laws.

In 1992, the Commission was further mandated to enforce the compliance of candidate contribution limits and other campaign finance restrictions established by the voters in the passage of Initiative 134 to ensure that individuals and interest groups have fair and equal opportunities to influence elective and governmental processes, again, with the purpose of promoting public confidence in government and the electoral process.

Legislative Mandates

RCW 42.17.350 Public disclosure commission -- Established -- Membership -- Prohibited activities -- Compensation, travel expenses.

(1) There is hereby established a "public disclosure commission" which shall be composed of five members who shall be appointed by the governor, with the consent of the senate. All appointees shall be persons of the highest integrity and qualifications. No more than three members shall have an identification with the same political party.

(2) The term of each member shall be five years. No member is eligible for appointment to more than one full term. Any member may be removed by the governor, but only upon grounds of neglect of duty or misconduct in office.

(3) During his or her tenure, a member of the commission is prohibited from engaging in any of the following activities, either within or outside the state of Washington:

- (a) Holding or campaigning for elective office;
- (b) Serving as an officer of any political party or political committee;
- (c) Permitting his or her name to be used in support of or in opposition to a candidate or proposition;
- (d) Soliciting or making contributions to a candidate or in support of or in opposition to any candidate or proposition;
- (e) Participating in any way in any election campaign; or
- (f) Lobbying, employing, or assisting a lobbyist, except that a member or the staff of the commission may lobby to the limited extent permitted by RCW [42.17.190](#) on matters directly affecting this chapter.

(4) A vacancy on the commission shall be filled within thirty days of the vacancy by the governor, with the consent of the senate, and the appointee shall serve for the remaining term of his or her predecessor. A vacancy shall not impair the powers of the remaining members to exercise all of the powers of the commission.

(5) Three members of the commission shall constitute a quorum. The commission shall elect its own chair and adopt its own rules of procedure in the manner provided in chapter [34.05](#) RCW.

(6) Members shall be compensated in accordance with RCW [43.03.250](#) and in addition shall be reimbursed for travel expenses incurred while engaged in the business of the commission as provided in RCW [43.03.050](#) and [43.03.060](#). The compensation provided pursuant to this section shall not be considered salary for purposes of the provisions of any retirement system created pursuant to the general laws of this state.

[1998 c 30 § 1; 1984 c 287 § 74; 1982 c 147 § 15; 1975-'76 2nd ex.s. c 112 § 8; 1975-'76 2nd ex.s. c 34 § 93; 1975 1st ex.s. c 294 § 23; 1973 c 1 § 35 (Initiative Measure No. 276, approved November 7, 1972).]

NOTES:

Legislative findings – Severability – Effective date – 1984 c 287: See notes following RCW [43.03.220](#).

Effective date – Severability – 1975-'76 2nd ex.s. c 34: See notes following RCW [2.08.115](#).

RCW 42.17.360 Commission – Duties.

The commission shall:

(1) Develop and provide forms for the reports and statements required to be made under this chapter:

(2) Prepare and publish a manual setting forth recommended uniform methods of bookkeeping and reporting for use by persons required to make reports and statements under this chapter;

(3) Compile and maintain a current list of all filed reports and statements;

(4) Investigate whether properly completed statements and reports have been filed within the times required by this chapter;

(5) Upon complaint or upon its own motion, investigate and report apparent violations of this chapter to the appropriate law enforcement authorities;

(6) Prepare and publish an annual report to the governor as to the effectiveness of this chapter and its enforcement by appropriate law enforcement authorities; and

(7) Enforce this chapter according to the powers granted it by law.

[1973 c 1 § 36 (Initiative Measure No. 276, approved November 7, 1972).]

RCW 42.17.362 Toll-free telephone number.

In addition to its regular telephone number, the commission shall offer political committees and residents of this state the opportunity to contact the commission by a toll-free telephone number.

[2000 c 237 § 6.]

RCW 42.17.365 Audits and investigations.

The commission shall conduct a sufficient number of audits and field investigations so as to provide a statistically valid finding regarding the degree of compliance with the provisions of this chapter by all required filers. Any documents, records, reports, computer files, papers, or materials provided to the commission for use in conducting audits and investigations must be returned to the candidate, campaign, or political committee from which they were received within one week of the commission's completion of an audit or field investigation.

[1999 c 401 § 8; 1993 c 2 § 29 (Initiative Measure No. 134, approved November 3, 1992).]

RCW 42.17.367 Web site for commission documents.

By February 1, 2000, the commission shall operate a web site or contract for the operation of a web site that allows access to reports, copies of reports, or copies of data and information submitted in reports, filed with the commission under RCW [42.17.040](#), [42.17.065](#), [42.17.080](#), [42.17.100](#), and [42.17.105](#). By January 1, 2001, the web site shall allow access to reports, copies of reports, or copies of data and information submitted in reports, filed with the commission under RCW [42.17.150](#), [42.17.170](#), [42.17.175](#), and [42.17.180](#). In addition, the commission shall attempt to make available via the web site other public records submitted to or generated by the commission that are required by this chapter to be available for public use or inspection.

[1999 c 401 § 9; 1994 c 40 § 2.]

NOTES:

Findings – 1994 c 40: "The legislature finds that government information is a strategic resource and needs to be managed as such and that broad public access to nonrestricted public information and records must be guaranteed. The legislature further finds that reengineering government processes along with capitalizing on advancements made in digital technology can build greater efficiencies in government service delivery. The legislature further finds that providing citizen electronic access to presently available public documents will allow increased citizen involvement in state policies and empower citizens to participate in state policy decision making." [1994 c 40 § 1.]

Severability – 1994 c 40: "If any provision of this act or its application to any person or circumstance is held invalid, the remainder of the act or the application of the provision to other persons or circumstances is not affected." [1994 c 40 § 6.]

Effective date – 1994 c 40: "This act is necessary for the immediate preservation of the public peace, health, or safety, or support of the state government and its existing public institutions, and shall take effect immediately [March 21, 1994]." [1994 c 40 § 7.]

RCW 42.17.369 Electronic filing – Availability.

(1) By July 1, 1999, the commission shall make available to candidates, public officials, and political committees that are required to file reports under this chapter an electronic filing alternative for submitting financial affairs reports, contribution reports, and

expenditure reports, including but not limited to filing by diskette, modem, satellite, or the Internet.

(2) By January 1, 2002, the commission shall make available to lobbyists and lobbyists' employers required to file reports under RCW [42.17.150](#), [42.17.170](#), [42.17.175](#), or [42.17.180](#) an electronic filing alternative for submitting these reports including but not limited to filing by diskette, modem, satellite, or the Internet.

(3) The commission shall make available to candidates, public officials, political committees, lobbyists, and lobbyists' employers an electronic copy of the appropriate reporting forms at no charge.

[2000 c 237 § 3; 1999 c 401 § 11.]

RCW 42.17.3691 Electronic filing -- When required.

(1) Beginning January 1, 2002, each candidate or political committee that expended twenty-five thousand dollars or more in the preceding year or expects to expend twenty-five thousand dollars or more in the current year shall file all contribution reports and expenditure reports required by this chapter by the electronic alternative provided by the commission under RCW [42.17.369](#). The commission may make exceptions on a case-by-case basis for candidates whose authorized committees lack the technological ability to file reports using the electronic alternative provided by the commission.

(2) Beginning January 1, 2004, each candidate or political committee that expended ten thousand dollars or more in the preceding year or expects to expend ten thousand dollars or more in the current year shall file all contribution reports and expenditure reports required by this chapter by the electronic alternative provided by the commission under RCW [42.17.369](#). The commission may make exceptions on a case-by-case basis for candidates whose authorized committees lack the technological ability to file reports using the electronic alternative provided by the commission.

(3) Failure by a candidate or political committee to comply with this section is a violation of this chapter.

[2000 c 237 § 4; 1999 c 401 § 12.]

RCW 42.17.370 Commission -- Additional powers.

The commission is empowered to:

(1) Adopt, promulgate, amend, and rescind suitable administrative rules to carry out the policies and purposes of this chapter, which rules shall be adopted under chapter [34.05](#) RCW. Any rule relating to campaign finance, political advertising, or related forms that would otherwise take effect after June 30th of a general election year shall take effect no earlier than the day following the general election in that year;

(2) Appoint and set, within the limits established by the committee on agency officials' salaries under RCW [43.03.028](#), the compensation of an executive director who shall perform such duties and have such powers as the commission may prescribe and delegate to implement and enforce this chapter efficiently and effectively. The commission shall not delegate its authority to adopt, amend, or rescind rules nor shall it delegate authority to determine whether an actual violation of this chapter has occurred or to assess penalties for such violations;

(3) Prepare and publish such reports and technical studies as in its judgment will tend to promote the purposes of this chapter, including reports and statistics concerning campaign financing, lobbying, financial interests of elected officials, and enforcement of this chapter;

(4) Make from time to time, on its own motion, audits and field investigations;

(5) Make public the time and date of any formal hearing set to determine whether a violation has occurred, the question or questions to be considered, and the results thereof;

(6) Administer oaths and affirmations, issue subpoenas, and compel attendance, take evidence and require the production of any books, papers, correspondence, memorandums, or other records relevant or material for the purpose of any investigation authorized under this chapter, or any other proceeding under this chapter;

(7) Adopt and promulgate a code of fair campaign practices;

(8) Relieve, by rule, candidates or political committees of obligations to comply with the provisions of this chapter relating to election campaigns, if they have not received contributions nor made expenditures in connection with any election campaign of more than *one thousand dollars;

(9) Adopt rules prescribing reasonable requirements for keeping accounts of and reporting on a quarterly basis costs incurred by state agencies, counties, cities, and other municipalities and political subdivisions in preparing, publishing, and distributing legislative information. The term "legislative information," for the purposes of this subsection, means books, pamphlets, reports, and other materials prepared, published, or distributed at substantial cost, a substantial purpose of which is to influence the passage or defeat of any legislation. The state auditor in his or her regular examination of each agency under chapter [43.09](#) RCW shall review the rules, accounts, and reports and make appropriate findings, comments, and recommendations in his or her examination reports concerning those agencies;

(10) After hearing, by order approved and ratified by a majority of the membership of the commission, suspend or modify any of the reporting requirements of this chapter in a particular case if it finds that literal application of this chapter works a manifestly unreasonable hardship and if it also finds that the suspension or modification will not frustrate the purposes of the chapter. The commission shall find that a manifestly unreasonable hardship exists if reporting the name of an entity required to be reported under RCW [42.17.241](#)(1)(g)(ii) would be likely to adversely affect the competitive position of any entity in which the person filing the report or any member of his or her immediate family holds any office, directorship, general partnership interest, or an ownership interest of ten percent or more. Any suspension or modification shall be only to the extent necessary to substantially relieve the hardship. The commission shall act to suspend or modify any reporting requirements only if it determines that facts exist that are clear and convincing proof of the findings required under this section. Requests for renewals of reporting modifications may be heard in a brief adjudicative proceeding as set forth in RCW [34.05.482](#) through [34.05.494](#) and in accordance with the standards established in this section. No initial request may be heard in a brief adjudicative proceeding and no request for renewal may be heard in a brief adjudicative proceeding if the initial request was granted more than three years previously or if the applicant is holding an office or position of employment different from the office or position held when the initial request

was granted. The commission shall adopt administrative rules governing the proceedings. Any citizen has standing to bring an action in Thurston county superior court to contest the propriety of any order entered under this section within one year from the date of the entry of the order; and

(11) Revise, at least once every five years but no more often than every two years, the monetary reporting thresholds and reporting code values of this chapter. The revisions shall be only for the purpose of recognizing economic changes as reflected by an inflationary index recommended by the office of financial management. The revisions shall be guided by the change in the index for the period commencing with the month of December preceding the last revision and concluding with the month of December preceding the month the revision is adopted. As to each of the three general categories of this chapter (reports of campaign finance, reports of lobbyist activity, and reports of the financial affairs of elected and appointed officials), the revisions shall equally affect all thresholds within each category. Revisions shall be adopted as rules under chapter [34.05](#) RCW. The first revision authorized by this subsection shall reflect economic changes from the time of the last legislative enactment affecting the respective code or threshold through December 1985;

(12) Develop and provide to filers a system for certification of reports required under this chapter which are transmitted by facsimile or electronically to the commission. Implementation of the program is contingent on the availability of funds.

[1995 c 397 § 17; 1994 c 40 § 3; 1986 c 155 § 11; 1985 c 367 § 11; 1984 c 34 § 7; 1977 ex.s. c 336 § 7; 1975 1st ex.s. c 294 § 25; 1973 c 1 § 37 (Initiative Measure No. 276, approved November 7, 1972).]

NOTES:

***Reviser's note:** The dollar amounts in this section have been adjusted for inflation by rule of the commission adopted under the authority of subsection (11) of this section. For current dollar amounts, see chapter 390-16 of the Washington Administrative Code (WAC).

Findings – Severability – Effective date – 1994 c 40: See notes following RCW [42.17.367](#).

Contingent effective date – Severability – 1986 c 155: See notes following RCW [43.03.300](#).

Severability – 1977 ex.s. c 336: See note following RCW [42.17.040](#).

RCW 42.17.375 Reports filed with county elections official--Rules governing. With regard to the reports required by this chapter to be filed with a county auditor or county elections official, the Commission shall adopt rules governing the arrangement, handling, indexing, and disclosing of those reports by the county auditor or county elections official. The rules shall ensure ease of access by the public to the reports and shall include, but not be limited to, requirements for indexing the reports by the names of candidates or political committees and by the ballot proposition for or against which a political committee is receiving contributions or making expenditures. [1983 c 294 § 1.]

RCW 42.17.380 Secretary of state, attorney general – Duties.

(1) The office of the secretary of state shall be designated as a place where the public may

file papers or correspond with the commission and receive any form or instruction from the commission.

(2) The attorney general, through his office, shall supply such assistance as the commission may require in order to carry out its responsibilities under this chapter. The commission may employ attorneys who are neither the attorney general nor an assistant attorney general to carry out any function of the attorney general prescribed in this chapter. [1982 c 35 § 196; 1975 1st ex.s. c 294 § 26; 1973 c 1 § 38 (Initiative Measure No. 276, approved November 7, 1972).]

NOTES:

Intent – Severability – Effective dates – Application – 1982 c 35: See notes following RCW [43.07.160](#).

RCW 42.17.390 Civil remedies and sanctions.

One or more of the following civil remedies and sanctions may be imposed by court order in addition to any other remedies provided by law:

(1) If the court finds that the violation of any provision of this chapter by any candidate or political committee probably affected the outcome of any election, the result of said election may be held void and a special election held within sixty days of such finding. Any action to void an election shall be commenced within one year of the date of the election in question. It is intended that this remedy be imposed freely in all appropriate cases to protect the right of the electorate to an informed and knowledgeable vote.

(2) If any lobbyist or sponsor of any grass roots lobbying campaign violates any of the provisions of this chapter, his registration may be revoked or suspended and he may be enjoined from receiving compensation or making expenditures for lobbying: PROVIDED, HOWEVER, That imposition of such sanction shall not excuse said lobbyist from filing statements and reports required by this chapter.

(3) Any person who violates any of the provisions of this chapter may be subject to a civil penalty of not more than ten thousand dollars for each such violation. However, a person or entity who violates RCW [42.17.640](#) may be subject to a civil penalty of ten thousand dollars or three times the amount of the contribution illegally made or accepted, whichever is greater.

(4) Any person who fails to file a properly completed statement or report within the time required by this chapter may be subject to a civil penalty of ten dollars per day for each day each such delinquency continues.

(5) Any person who fails to report a contribution or expenditure may be subject to a civil penalty equivalent to the amount he failed to report.

(6) The court may enjoin any person to prevent the doing of any act herein prohibited, or to compel the performance of any act required herein.

[1993 c 2 § 28 (Initiative Measure No. 134, approved November 3, 1992); 1973 c 1 § 39 (Initiative Measure No. 276, approved November 7, 1972).]

RCW 42.17.395 Violations – Determination by commission – Procedure.

(1) The commission may (a) determine whether an actual violation of this chapter has occurred; and (b) issue and enforce an appropriate order following such determination.

(2) The commission, in cases where it chooses to determine whether an actual violation of this chapter has occurred, shall hold a hearing pursuant to the Administrative Procedure Act, chapter [34.05](#) RCW, to make such determination. Any order that the commission issues under this section shall be pursuant to such hearing.

(3) In lieu of holding a hearing or issuing an order under this section, the commission may refer the matter to the attorney general or other enforcement agency as provided in RCW [42.17.360](#).

(4) The person against whom an order is directed under this section shall be designated as the respondent. The order may require the respondent to cease and desist from the activity that constitutes a violation and in addition, or alternatively, may impose one or more of the remedies provided in *RCW [42.17.390](#)(1) (b), (c), (d), or (e): PROVIDED, That no individual penalty assessed by the commission may exceed one thousand dollars, and in any case where multiple violations are involved in a single complaint or hearing, the maximum aggregate penalty may not exceed two thousand five hundred dollars.

(5) An order issued by the commission under this section shall be subject to judicial review under the Administrative Procedure Act, chapter [34.05](#) RCW. If the commission's order is not satisfied and no petition for review is filed within thirty days as provided in RCW [34.05.542](#), the commission may petition a court of competent jurisdiction of any county in which a petition for review could be filed under that section, for an order of enforcement. Proceedings in connection with the commission's petition shall be in accordance with RCW [42.17.397](#).

[1989 c 175 § 91; 1985 c 367 § 12; 1982 c 147 § 16; 1975-'76 2nd ex.s. c 112 § 12.]

NOTES:

***Reviser's note:** RCW [42.17.390](#) was amended by 1993 c 2 § 28, changing subsection (1)(b), (c), (d), and (e) to subsections (2), (3), (4), and (5).

Effective date – 1989 c 175: See note following RCW [34.05.010](#).

RCW 42.17.397 Procedure upon petition for enforcement of order of commission – Court's order of enforcement.

The following procedure shall apply in all cases where the commission has petitioned a court of competent jurisdiction for enforcement of any order it has issued pursuant to this chapter:

(1) A copy of the petition shall be served by certified mail directed to the respondent at his last known address. The court shall issue an order directing the respondent to appear at a time designated in the order, not less than five days from the date thereof, and show cause why the commission's order should not be enforced according to its terms.

(2) The commission's order shall be enforced by the court if the respondent does not appear, or if the respondent appears and the court finds, pursuant to a hearing held for that purpose:

(a) That the commission's order is unsatisfied; and

(b) That the order is regular on its face; and

(c) That the respondent's answer discloses no valid reason why the commission's order should not be enforced or that the respondent had an appropriate remedy by review under RCW [34.05.570](#)(3) and failed to avail himself of that remedy without valid excuse.

(3) Upon appropriate application by the respondent, the court may, after hearing and for good cause, alter, amend, revise, suspend, or postpone all or part of the commission's order. In any case where the order is not enforced by the court according to its terms, the reasons for the court's actions shall be clearly stated in writing, and such action shall be subject to review by the appellate courts by certiorari or other appropriate proceeding.

(4) The court's order of enforcement, when entered, shall have the same force and effect as a civil judgment.

(5) Notwithstanding RCW [34.05.578](#) through [34.05.590](#), this section is the exclusive method for enforcing an order of the commission.

[1989 c 175 § 92; 1982 c 147 § 17; 1975-'76 2nd ex.s. c 112 § 13.]

NOTES:

Effective date – 1989 c 175: See note following RCW [34.05.010](#).

RCW 42.17.400 Enforcement.

(1) The attorney general and the prosecuting authorities of political subdivisions of this state may bring civil actions in the name of the state for any appropriate civil remedy, including but not limited to the special remedies provided in RCW [42.17.390](#).

(2) The attorney general and the prosecuting authorities of political subdivisions of this state may investigate or cause to be investigated the activities of any person who there is reason to believe is or has been acting in violation of this chapter, and may require any such person or any other person reasonably believed to have information concerning the activities of such person to appear at a time and place designated in the county in which such person resides or is found, to give such information under oath and to produce all accounts, bills, receipts, books, paper and documents which may be relevant or material to any investigation authorized under this chapter.

(3) When the attorney general or the prosecuting authority of any political subdivision of this state requires the attendance of any person to obtain such information or the production of the accounts, bills, receipts, books, papers, and documents which may be relevant or material to any investigation authorized under this chapter, he shall issue an order setting forth the time when and the place where attendance is required and shall cause the same to be delivered to or sent by registered mail to the person at least fourteen days before the date fixed for attendance. Such order shall have the same force and effect as a subpoena, shall be effective statewide, and, upon application of the attorney general or said prosecuting authority, obedience to the order may be enforced by any superior court judge in the county where the person receiving it resides or is found, in the same manner as though the order were a subpoena. The court, after hearing, for good cause, and upon application of any person aggrieved by the order, shall have the right to alter, amend, revise, suspend, or postpone all or any part of its provisions. In any case where the order is not enforced by the court according to its terms, the reasons for the court's actions shall be clearly stated in writing, and such action shall be subject to review by the appellate courts by certiorari or other appropriate proceeding.

(4) Any person who has notified the attorney general and the prosecuting attorney in the county in which the violation occurred in writing that there is reason to believe that some provision of this chapter is being or has been violated may himself bring in the name of the

state any of the actions (hereinafter referred to as a citizen's action) authorized under this chapter. This citizen action may be brought only if the attorney general and the prosecuting attorney have failed to commence an action hereunder within forty-five days after such notice and such person has thereafter further notified the attorney general and prosecuting attorney that said person will commence a citizen's action within ten days upon their failure so to do, and the attorney general and the prosecuting attorney have in fact failed to bring such action within ten days of receipt of said second notice. If the person who brings the citizen's action prevails, the judgment awarded shall escheat to the state, but he shall be entitled to be reimbursed by the state of Washington for costs and attorney's fees he has incurred: PROVIDED, That in the case of a citizen's action which is dismissed and which the court also finds was brought without reasonable cause, the court may order the person commencing the action to pay all costs of trial and reasonable attorney's fees incurred by the defendant.

(5) In any action brought under this section, the court may award to the state all costs of investigation and trial, including a reasonable attorney's fee to be fixed by the court. If the violation is found to have been intentional, the amount of the judgment, which shall for this purpose include the costs, may be trebled as punitive damages. If damages or trebled damages are awarded in such an action brought against a lobbyist, the judgment may be awarded against the lobbyist, and the lobbyist's employer or employers joined as defendants, jointly, severally, or both. If the defendant prevails, he shall be awarded all costs of trial, and may be awarded a reasonable attorney's fee to be fixed by the court to be paid by the state of Washington.

[1975 1st ex.s. c 294 § 27; 1973 c 1 § 40 (Initiative Measure No. 276, approved November 7, 1972).]

RCW 42.17.405 Suspension, reapplication of reporting requirements in small political subdivisions.

(1) Except as provided in subsections (2) and (3) of this section, the reporting provisions of this chapter do not apply to candidates, elected officials, and agencies in political subdivisions with less than one thousand registered voters as of the date of the most recent general election in the jurisdiction, to political committees formed to support or oppose candidates or ballot propositions in such political subdivisions, or to persons making independent expenditures in support of or opposition to such ballot propositions.

(2) The reporting provisions of this chapter apply in any exempt political subdivision from which a "petition for disclosure" containing the valid signatures of fifteen percent of the number of registered voters, as of the date of the most recent general election in the political subdivision, is filed with the commission. The commission shall by rule prescribe the form of the petition. After the signatures are gathered, the petition shall be presented to the auditor or elections officer of the county, or counties, in which the political subdivision is located. The auditor or elections officer shall verify the signatures and certify to the commission that the petition contains no less than the required number of valid signatures. The commission, upon receipt of a valid petition, shall order every known affected person in the political subdivision to file the initially required statement and reports within fourteen days of the date of the order.

(3) The reporting provisions of this chapter apply in any exempt political subdivision that by ordinance, resolution, or other official action has petitioned the commission to make the provisions applicable to elected officials and candidates of the exempt political subdivision. A copy of the action shall be sent to the commission. If the commission finds the petition to be a valid action of the appropriate governing body or authority, the commission shall order every known affected person in the political subdivision to file the initially required statement and reports within fourteen days of the date of the order.

(4) The commission shall void any order issued by it pursuant to subsection (2) or (3) of this section when, at least four years after issuing the order, the commission is presented a petition or official action so requesting from the affected political subdivision. Such petition or official action shall meet the respective requirements of subsection (2) or (3) of this section.

(5) Any petition for disclosure, ordinance, resolution, or official action of an agency petitioning the commission to void the exemption in RCW [42.17.030](#)(3) shall not be considered unless it has been filed with the commission:

(a) In the case of a ballot measure, at least sixty days before the date of any election in which campaign finance reporting is to be required;

(b) In the case of a candidate, at least sixty days before the first day on which a person may file a declaration of candidacy for any election in which campaign finance reporting is to be required.

(6) Any person exempted from reporting under this chapter may at his or her option file the statement and reports.

[1986 c 12 § 3; 1985 c 367 § 13; 1982 c 60 § 1.]

RCW 42.17.410 Limitation on actions.

Any action brought under the provisions of this chapter must be commenced within five years after the date when the violation occurred.

[1982 c 147 § 18; 1973 c 1 § 41 (Initiative Measure No. 276, approved November 7, 1972).]

RCW 42.17.420 Date of mailing deemed date of receipt -- Exceptions -- Electronic filings.

(1) Except as provided in subsection (2) of this section, when any application, report, statement, notice, or payment required to be made under the provisions of this chapter has been deposited postpaid in the United States mail properly addressed, it shall be deemed to have been received on the date of mailing. It shall be presumed that the date shown by the post office cancellation mark on the envelope is the date of mailing. The provisions of this section do not apply to reports required to be delivered under RCW [42.17.105](#) and [42.17.175](#).

(2) When a report is filed electronically with the commission, it is deemed to have been received on the file transfer date. The commission shall notify the filer of receipt of the electronically filed report. Such notification may be sent by mail, facsimile, or electronic mail. If the notification of receipt of the electronically filed report is not received by the filer, the filer may offer his or her own proof of sending the report, and such proof shall be treated as if it were a receipt sent by the commission. Electronic filing may be used for

purposes of filing the special reports required to be delivered under RCW [42.17.105](#) and [42.17.175](#).

RCW 42.17.430 Certification of reports. Every report and statement required to be filed under this chapter shall identify the person preparing it, and shall be certified as complete and correct, both by the person preparing it and by the person on whose behalf it is filed. [1973 c 1 § 43 (Initiative Measure No. 276, approved November 7, 1972).]

RCW 42.17.440 Statements and reports public records. All statements and reports filed under this chapter shall be public records of the agency where they are filed, and shall be available for public inspection and copying during normal business hours at the expense of the person requesting copies, provided that one charge for such copies shall not exceed actual cost to the agency. [1973 c 1 § 44 (Initiative Measure No. 276, approved November 7, 1972).]

RCW 42.17.450 Duty to preserve statements and reports. Persons with whom statements or reports or copies of statements or reports are required to be filed under this chapter shall preserve them for not less than six years. The Commission, however, shall preserve such statements or reports for not less than ten years. (1973 c 1 § 45 (Initiative Measure No. 276, approved November 7, 1972).]

The Public Disclosure Commission was created in 1972 by Initiative of the People to provide public access to information about the financing of political campaigns, lobbyist expenditures, and the financial affairs of public officials and candidates. Such access helps assure the public of the impartiality, fairness, and honesty of public officials and candidates in their dealings, and thus promote public confidence in government and the electoral process.

In 1992, the Commission was further charged with securing compliance with contribution limits and other campaign finance restrictions established by the voters in Initiative 134 to ensure that individuals and interest groups have fair and equal opportunities to influence elective and governmental processes, again, with the purpose of promoting public confidence in government and the electoral process.

In 1999, the Legislature passed **Senate Bill 5931**. It amended several RCWs as follows:

RCW 42.17.460 Access to reports – Legislative intent.

It is the intent of the legislature to ensure that the commission provide the general public timely access to all contribution and expenditure reports submitted by candidates, continuing political committees, bona fide political parties, lobbyists, and lobbyists' employers. The legislature finds that failure to meet goals for full and timely disclosure threatens to undermine our electoral process.

Furthermore, the legislature intends for the commission to consult with the department of information services as it seeks to implement chapter 401, Laws of 1999, and that the

commission follow the standards and procedures established by the department of information services in chapter [43.105](#) RCW as they relate to information technology. [1999 c 401 § 1.]

RCW 42.17.461 Access goals.

(1) The commission shall establish goals that all reports, copies of reports, or copies of the data or information included in reports, filed under RCW [42.17.040](#), [42.17.065](#), [42.17.080](#), [42.17.100](#), [42.17.105](#), [42.17.150](#), [42.17.170](#), [42.17.175](#), and [42.17.180](#), that are:

(a) Submitted using the commission's electronic filing system shall be accessible in the commission's office within two business days of the commission's receipt of the report and shall be accessible on the commission's web site within seven business days of the commission's receipt of the report; and

(b) Submitted in any format or using any method other than as described in (a) of this subsection, shall be accessible in the commission's office within four business days of the actual physical receipt of the report, and not the technical date of filing as provided under RCW [42.17.420](#), and shall be accessible on the commission's web site within fourteen business days of the actual physical receipt of the report, and not the technical date of filing as provided under RCW [42.17.420](#), as specified in rule adopted by the commission.

(2) On January 1, 2001, or shortly thereafter, the commission shall revise these goals to reflect that all reports, copies of reports, or copies of the data or information included in reports, filed under RCW [42.17.040](#), [42.17.065](#), [42.17.080](#), [42.17.100](#), [42.17.105](#), [42.17.150](#), [42.17.170](#), [42.17.175](#), and [42.17.180](#), that are:

(a) Submitted using the commission's electronic filing system shall be accessible in the commission's office within two business days of the commission's receipt of the report and on the commission's web site within four business days of the commission's receipt of the report; and

(b) Submitted in any format or using any method other than as described in (a) of this subsection, shall be accessible in the commission's office within four business days of the actual physical receipt of the report, and not the technical date of filing as provided under RCW [42.17.420](#), and on the commission's web site within seven business days of the actual physical receipt of the report, and not the technical date of filing as provided under RCW [42.17.420](#), as specified in rule adopted by the commission.

(3) On January 1, 2002, or shortly thereafter, the commission shall revise these goals to reflect that all reports, copies of reports, or copies of the data or information included in reports, filed under RCW [42.17.040](#), [42.17.065](#), [42.17.080](#), [42.17.100](#), [42.17.105](#), [42.17.150](#), [42.17.170](#), [42.17.175](#), and [42.17.180](#), that are:

(a) Submitted using the commission's electronic filing system must be accessible in the commission's office and on the commission's web site within two business days of the commission's receipt of the report; and

(b) Submitted in any format or using any method other than as described in (a) of this subsection, must be accessible in the commission's office and on the commission's web site within four business days of the actual physical receipt of the report, and not the

technical date of filing as provided under RCW [42.17.420](#), as specified in rule adopted by the commission.

[2000 c 237 § 5; 1999 c 401 § 2.]

RCW 42.17.463 Access performance measures.

By July 1st of each year beginning in 2000, the commission shall calculate the following performance measures, provide a copy of the performance measures to the governor and appropriate legislative committees, and make the performance measures available to the public:

(1) The average number of days that elapse between the commission's receipt of reports filed under RCW [42.17.040](#), [42.17.065](#), [42.17.080](#), and [42.17.100](#) and the time that the report, a copy of the report, or a copy of the data or information included in the report, is first accessible to the general public (a) in the commission's office, and (b) via the commission's web site;

(2) The average number of days that elapse between the commission's receipt of reports filed under RCW [42.17.105](#) and the time that the report, a copy of the report, or a copy of the data or information included in the report, is first accessible to the general public (a) in the commission's office, and (b) via the commission's web site;

(3) The average number of days that elapse between the commission's receipt of reports filed under RCW [42.17.150](#), [42.17.170](#), [42.17.175](#), and [42.17.180](#) and the time that the report, a copy of the report, or a copy of the data or information included in the report, is first accessible to the general public (a) in the commission's office, and (b) via the commission's web site;

(4) The percentage of candidates, categorized as statewide, state legislative, or local, that have used each of the following methods to file reports under RCW [42.17.080](#) or [42.17.105](#): (a) Hard copy paper format; (b) electronic format via diskette; (c) electronic format via modem or satellite; (d) electronic format via the Internet; and (e) any other format or method;

(5) The percentage of continuing political committees that have used each of the following methods to file reports under RCW [42.17.065](#) or [42.17.105](#): (a) Hard copy paper format; (b) electronic format via diskette; (c) electronic format via modem or satellite; (d) electronic format via the Internet; and (e) any other format or method; and

(6) The percentage of lobbyists and lobbyists' employers that have used each of the following methods to file reports under RCW [42.17.150](#), [42.17.170](#), [42.17.175](#), or [42.17.180](#): (a) Hard copy paper format; (b) electronic format via diskette; (c) electronic format via modem or satellite; (d) electronic format via the Internet; and (e) any other format or method.

[1999 c 401 § 3.]

RCW 42.17.465 Information technology plan – Contents.

(1) The commission shall develop an information technology plan consistent with plans or portfolios required by chapter [43.105](#) RCW.

(2) The plan must include, but not be limited to, the following:

(a) A baseline assessment of the agency's information technology resources and capabilities that will serve as the benchmark for subsequent planning and performance measures;

(b) A statement of the agency's mission, goals, and objectives for information technology, including goals and objectives for achieving electronic access to agency records, information, and services for at least the next five years;

(c) An explanation of how the agency's mission, goals, and objectives for information technology support and conform to the state strategic information technology plan;

(d) An implementation strategy to enhance electronic access to public records and information required to be filed with and disclosed by the commission. This implementation strategy must be assembled to include:

(i) Adequate public notice and opportunity for comment;

(ii) Consideration of a variety of electronic technologies, including those that help to transcend geographic locations, standard business hours, economic conditions of users, and disabilities;

(iii) Methods to educate agency employees, the public, and the news media in the effective use of agency technology;

(iv) Ways to simplify and improve public access to information held by the commission through electronic means;

(e) Projects and resources required to meet the objectives of the plan; and

(f) If feasible, estimated schedules and funding required to implement identified projects.

[1999 c 401 § 4.]

RCW 42.17.467 Information technology plan -- Consultation.

In preparing the information technology plan, the commission shall consult with affected state agencies, the department of information services, and stakeholders in the commission's work, including representatives of political committees, bona fide political parties, news media, and the general public.

[1999 c 401 § 5.]

RCW 42.17.469 Information technology plan -- Submission.

The commission shall submit the information technology plan to the senate and house of representatives fiscal committees, the governor, the senate state and local government committee, the house of representatives state government committee, and the department of information services by February 1, 2000. It is the intent of the legislature that the commission thereafter comply with the requirements of chapter [43.105](#) RCW with respect to preparation and submission of biennial performance reports on the commission's information technology.

[1999 c 401 § 6.]

RCW 42.17.471 Access performance reports.

The commission shall prepare and submit to the department of information services a biennial performance report in accordance with chapter [43.105](#) RCW.

The report must include:

- (1) An evaluation of the agency's performance relating to information technology;
 - (2) An assessment of progress made toward implementing the agency information technology plan;
 - (3) An analysis of the commission's performance measures, set forth in RCW [42.17.463](#), that relate to the electronic filing of reports and timely public access to those reports via the commission's web site;
 - (4) A comprehensive description of the methods by which citizens may interact with the agency in order to obtain information and services from the commission; and
 - (5) An inventory of agency information services, equipment, and proprietary software.
- [1999 c 401 § 7.]

Commission Vision

The PDC will educate and advise campaigns, committees, lobbyists, and the public about the disclosure law with regard to reporting requirements, contribution limits, and other requirements and prohibitions found in the law.

The PDC will provide technological solutions to filers, the public, press and other stakeholders to ease compliance with the law.

The PDC will enforce compliance with the law, where necessary, by conducting investigations, holding enforcement hearings, and issuing penalties for noncompliance.

The PDC will provide dynamic access to the information disclosed in filings via the Internet in a way that is easily searchable to provide meaningful, useful, timely access to the campaign finances and expenditures of elected officials, statewide ballot initiatives, lobbyists expenditures, and political committee financial information.

Information Technology Vision

The Public Disclosure Commission is fortunate to have the information technology available today that completely satisfies the agency's business requirements. Information technology is extremely important in meeting the Commission's business goals and objectives and is the primary medium for meeting Legislative mandates. By providing information dynamically via the agency Internet site where users can easily and quickly gain access to compiled data and images of disclosure reports 24 hours a day 7 days a week.

Overview of Infrastructure

Information technology investments have been made by acquiring a new and modernized hardware and software infrastructure for Commission staff and public use. Examples of these investments included standardizing the PC hardware infrastructure on Dell Dimension desktops with standard operating systems running MS Windows 2000 Professional. It also included standardization on a single application suite, Microsoft Office 2000 Professional. Also included in these investments were standardizing electronic communications through Microsoft Exchange Server 2000, with client software using Microsoft Outlook 2000 for all staff and Outlook Web Access for Commission members.

Upgrades to the network and server infrastructure have also been made to provide fault tolerance, redundancy and standardization of hardware and software to support Internet/Intranet business requirements. The server infrastructure was standardized on Dell PowerEdge servers and network components were upgraded, standardizing on Extreme Networks switching appliances resulting in the agency now having a switched 10/100Mbps desktop computing platform with all servers utilizing the 1000Mbps backbone.

The Commission moved and consolidated all agency operations to the 2nd floor of the Evergreen Plaza Building where we were able to negotiate with the Department of Revenue, whose vacated offices we occupied, for the asset transfer of a Nortel Networks phone system to replace the agency's antiquated SRX phone system. In addition, the wiring infrastructure and dedicated facility for a secure environment to house the servers and networking appliances were also acquired in this move.

The Commission now has over 30 Personal Computers (PCs) used by assigned staff. It has 5 PCs assigned for use by customers that walk in the front door who wish to obtain information about the campaign finance or lobbyist, lobbyist employer or personal financial affairs filings. The Commission has thirteen PCs dedicated for training purposes.

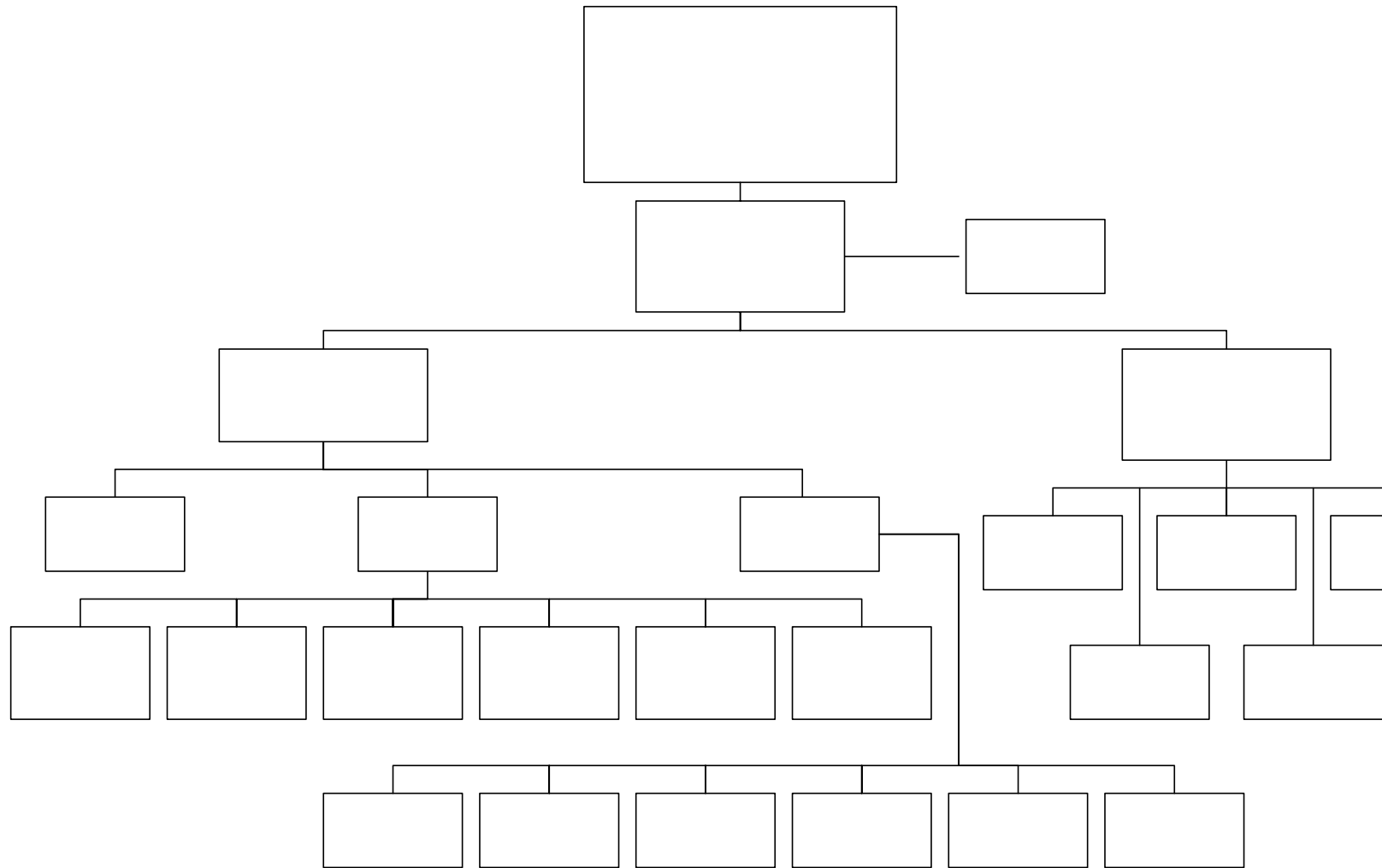
The public access PCs in the lobby also have Microsoft Windows 2000 Professional operating system and include only access to the agency Internet site and OTG Application Xtender software installed for access to the reports found in the agency's electronic document management system.

The servers hosted on the agency's local area network are comprised of six Microsoft Windows 2000 servers, five Extreme Networks switches and one Cisco 2621 router.

The agency also has acquired a dedicated training room facility with 12 dedicated computers for students and one additional for an instructor. The student PCs operate the Windows 2000 Professional operating system, have access to the agency Internet site and are installed with the Washington Electronic Disclosure System (WEDS) software. The

instructor PC operates the MS Windows 2000 Professional operating system, provides centralized control of the training room LCD projector and agency SMART board, it also has the WEDS electronic filing software installed.

Public Disclosure Commission



Analysis

The Commission IT staff consists of six personnel, the Chief Technology Officer, an Information Technology Applications Specialist 5, and an Information Technology Applications Specialist 4 (ITAS 4), 2 Information Technology Applications Specialist 3's (ITAS 3) and an Information Technology Technician 2 (ITT 2).

The ITAS 5 is the agency web applications chief providing the necessary hands on JAVA application development and Internet application design, analysis, development services and coordination, satisfying many business requirements through the use of technology. One ITAS 3 is responsible for the development, coordination and maintenance of applications supporting the current electronic filing process. The other ITAS 3 also coordinates, develops and maintains content for the agency web site. The ITAS 4 position supplements the development team and is back up to the agency web applications chief and is responsible for core Internet application development by developing applications that satisfy agency business requirements. The ITT2 is the lead technician who is responsible for providing technical support for all systems necessary to support the Commission in its daily operations.

This team of information technology professionals has successfully worked together to turn around previous attempts at Commission deployments of technology to satisfy business requirements. Many of these successes are well documented in Section 4 Technology Investments/Project Summaries.

Issues

Current issues encompass technological challenges that are primarily generated from the lack of funding and appropriated maintenance and support budgets. Historically, the Commission has relied upon one-time supplemental budgets to acquire information technologies that satisfy the agency's immediate business requirements. This has introduced technologies and met short term achievable performance goals and mission, but for on-going sustainable longevity the Commission must seek additional funding to support the recently acquired information technology infrastructure.

Today, significant efforts have been made by PDC information technology staff to replace and ultimately resolve many, if not all, of the deficiencies found in previously acquired vendor derived goods and services. Now is the time for the Legislature to continue to support the investment in the PDC and its successful implementation of information technology.

Challenges and Opportunities

The Commission contributes to the State of Washington Information Technology Portfolio by increasing its service delivery to the public and making more information available via the Internet faster and more accurately than ever before. The information is provided at no cost to the public, unless the request involves paper and other media like floppy disks and CD-ROM's for dissemination. Through the use of Internet based technologies we are able to provide the media and public with real time access to data and images of reports submitted to the Commission on a daily basis.

The Commission adheres to the Governor's initiatives and has deployed digital e-government solutions and realized an increased use of a friendlier more informative Internet web site that gives the public access to real time information. Now, more than ever in the history of the Public Disclosure Commission, our information is being made available in a digital format to constituents through the Internet. Citizens can now follow the trail of political money without leaving home.

Solutions: Current and Future IT Investments

The Commission in the past three years has applied a significant investment in information technology to achieve its business objectives through the enhanced development of its Internet Web site and providing more real time access to Commission.

Success has been achieved by ensuring information is available to the public ahead of the mandated 2 days for electronically filed information and 4 days for manually filed information. The goal is to have the same day's information accessible by the public real time. This is currently the situation, with the Commission's updated electronic document management system and custom JAVA applications for receiving, validating and parsing electronic filings, e-filed information is available to the public via the Internet site with 15 minutes of the filer submitting the information.

The Commission had contracted with a vendor, FYI Image Systems Solutions Group, for enhancements and upgrades to the antiquated Electronic Document Management System. This new system provides the solid foundation for an agency repository for images of report filings received either electronically or by traditional means on paper. This new hardware and software will provide the functionality and capacity to serve the public well into the future. The commercial software comprising the system is brought to the State of Washington by OTG and Cardiff. These two reputable manufacturers are leaders in the automation and document management software arena. The new system provides advanced automation capabilities for replacing many previously manual processes. As more and more filers use the on-line forms, more and more information will automatically be submitted to the agency database without the need for manual data entry.

The Cardiff Teleform Enterprise software has automated previously manual processes by posting our paper forms on-line creating a method for lobbyists, lobbyist employers and personal financial affairs filers to submit their information to us over the Internet satisfying business requirements and legislative mandates.

The Commission is now in the process of developing a project plan to replicate this information technology environment in a redundant facility or warm site. This warm site will ensure that the current capabilities and the information managed by the Commission will be available indefinitely. To achieve this level of maturity in the information technology life cycle, additional funding from the legislature has been allocated to the agency to acquire the necessary facilities, hardware and software to provide these redundant capabilities. In addition to ensuring indefinite longevity, this warm site should also allow the Commission to perform routine maintenance, enhancements and software upgrades without impacting information technology service delivery to constituents.

Prioritization Process

The PDC currently uses a number of methods to prioritize its projects. In the past two years the supplemental budget allocation dedicated to Information Technology investments has driven the investments and staff time devoted to deploying technologies that satisfy the agency goals, mission and mandate. Priorities are currently set at the sole direction of the Commission Chief Technology Officer and are determined by many factors.

Factors impacting the prioritization process revolve around the procurement and implementation of technological solutions, whether or not they are solely PDC information technology initiatives or involve assistance by contract staff.

The PDC anticipates that the prioritization process will evolve once all current efforts have subsided and the reactionary aspects of prioritization cease, creating a maintenance environment where long term planning and prioritizing can actually take place and be a critical factor in assessing business requirements and needs.

Section 2 - Strategic Plan

Revised August 2003

Mission Statement

The Public Disclosure Commission was created and empowered by Initiative of the People to provide timely and meaningful public access to information about the financing of political campaigns, lobbyist expenditures, and the financial affairs of public officials and candidates, and to ensure compliance with disclosure provisions, contribution limits, campaign practices and other campaign finance laws.

Vision Statement

We build public confidence in the political process and government.

Statutory Authority

The Public Disclosure Commission is created pursuant to RCW 42.17.350. The Commission's powers and duties are set forth in RCW 42.17.360, 42.17.365, 42.17.367, 42.17.370, 42.17.395 and other provisions of chapter 42.17 RCW.

Goals and Objectives

1. Identify and implement strategies to make enforcement efforts more effective; evaluate results.

Objective: Secure passage of legislation that increases the PDC's penalty authority and modifies the 45-day letter period to 60 business days.

- 1-1 Arrange introduction of agency request legislation with bi-partisan support of legislative policy committee members. Work with prime sponsors and policy committee chair and staff to ensure committee hearing and favorable executive action. Educate Rules Committee members about legislation; secure passage from Rules Committee. Work with leadership and staff to schedule floor action and secure passage (without adverse amendments).
Who: Executive Director, Director of Public Outreach, Commissioners
Timeline: 2003 Legislative Session

Objective: Prioritize enforcement functions and continue to modify processes to speed resolution of complaints.

- 1-2 Perform a sufficient number of audits to provide a statistically valid finding regarding the degree of compliance with filing deadlines.
Who: Director of Compliance and Political Finance Specialists
Timeline: Ongoing (for following reports: F-1, L-2, L-3, C-1/F-1, and 7-day pre-general C-4 reports)
- 1-3 Complete routine, non-complex investigations within 90 days of receiving complaint.
Who: Director of Compliance and Political Finance Specialists
Timeline: Ongoing
- 1-4 Create and implement via rule-making standardized penalty mechanism (e.g., grid) for late filers and other brief enforcement hearing cases.
Who: Assistant Director (w/ Assistant Attorney General, review by Executive Director, final approval by Commission)
Timeline: January 2004
- 1-5 Review, identify and adopt necessary amendments to enforcement process rules (WAC 390-37).
Who: Assistant Director (w/ Assistant Attorney General, Director of Public Outreach, review by Executive Director, final approval by Commission)
Timeline: January 2004
- 1-6 Conduct random desk and field audits of campaigns and lobbyists/ lobbyist employers.
Who: Director of Compliance and Political Finance Specialists
Timeline: In conformance with Audit Plan

2. Enhance public access and awareness of PDC reports and data through evolving technology.

Objective: Continue to develop and revise user-friendly, platform independent, Internet-based electronic filing programs for persons reporting under chapter 42.17 RCW.

- 2-1 Seek additional funding for maintenance of software programs and updating Information Technology infrastructure to ensure security and reliability of service.
Who: Executive Director (w/ Chief Technology Officer)
Timeline: 2003 Legislative Session
- 2-2 Recruit and consult with filer focus groups during the development or revision of the various filer reporting programs in order to address the specific needs of users.
Who: Chief Technology Officer (w/ Director of Public Outreach)
Timeline: Ongoing

- 2-3 Conduct electronic filing training sessions upon request and within available resources and according to a schedule that corresponds with:
- the start of legislative session (lobbyists),
 - the February deadline for lobbyist employer reports,
 - the time frame for filing declarations of candidacy,
 - the April 15 due date for the annual financial affairs statement, and
 - other times that meet filer needs.
- Who: Chief Technology Officer (w/ Director of Public Outreach)
Timeline: As specified above

Objective: Create, make available and publicize political spending data, information and trend analysis for easy public consumption and use.

- 2-4 Generate dynamic reports regarding lobbying and campaign activity that answer frequently asked media and citizen questions.
Who: Chief Technology Officer, Webmaster and Director of Public Outreach
Timeline: Lobbying: Jan-June; Campaign Finance: July-November

- 2-5 Offer media briefings to highlight Web site information.
Who: Director of Public Outreach
Timeline: Lobbying-January; Campaign Finance-July

3. Implement Standardized Communication Practices.

Objective: Implement general and specialized communication practices.

- 3-1 Develop and implement communication protocols for a) routine activities, including brief enforcement hearings, PDC News, COGEL articles and training schedules, and b) emerging issues and events, including conclusion of major investigations, new electronic filing software, court decisions, and results of national assessments of disclosure agencies.
Who: Director of Public Outreach
Timeline: Routine activities – October 2002; Emerging issues/events Ongoing
- 3-2 Distribute media notices regarding upcoming filing dates.
Who: Director of Public Outreach
Timeline: Ongoing
- 3-3 Maintain agency-wide workload calendar to assure timely task completion.
Who: Director of Administration
Timeline: Ongoing

Objective: Identify and involve stakeholders who support advancing PDC's mission and goals.

3-4 Recruit representatives from League of Women Voters, Common Cause, Allied Daily Newspapers and other public interest groups to become involved in PDC-related issues.

Who: Director of Public Outreach

Timeline: Ongoing

Objective: Optimize Commission and staff opportunities for educating members of the public, legislators and filers about the importance of disclosure laws.

3-5 Schedule and conduct as many presentations as possible given available resources.

Who: Director of Public Outreach

Timeline: Ongoing

4. Increase Commission and staff capacity to meet future challenges.

Objective: Maximize appropriate staff and commission training opportunities within available resources.

4-1 Review Department of Personnel training opportunities to improve the skill level of all staff.

Who: Director of Administration

Timeline: At least quarterly

Objective: Develop succession plan.

4-2 Identify staff retirement vacancies that may occur during the next three to five years, evaluate existing skills and abilities of potential internal applicants, provide training opportunities to augment existing capabilities.

Who: Executive Director, Assistant Director, Chief Technology Officer

Timeline: July 2003

4-3 Promote rotation of commission leadership roles through exposure to increased responsibilities; e.g., vice chair or other commission member will conduct or observe brief enforcement hearings on occasion in preparation for assuming position of chair.

Who: Commission chair and members

Timeline: Ongoing

Objective: Support diversity on Commission and within agency.

4-4 When staff vacancies occur, notify Human Rights Commission, Commission on Asian Pacific American Affairs, Commission on African-American Affairs

and Commission on Hispanic Affairs to seek their assistance in informing diverse audiences of available positions.

Who: Director of Administration

Timeline: When recruiting to fill staff vacancies

- 4-5 Annually notify legislative leaders and stakeholder groups of upcoming Commission vacancy, inviting them to submit recommendations to the Governor's Office.

Who: Director of Administration (for Commission Chair's signature)

Timeline: November

Objective: Explore and establish partnerships within government to better leverage and exchange knowledge and resources.

- 4-6 Improve collection procedures by: a) working with Department of General Administration, Office of Financial Management and/or Department of Revenue on collection efforts; and b) joining multi-agency effort to change law regarding collection of agency final orders to streamline the collection process and reduce state expenditures.

Who: Executive Director and Assistant Director (in conjunction with Assistant Attorneys General)

Timeline: July 2003

- 4-7 Build communication and collaboration between PDC political finance specialists and AGO paralegals in order to increase efficiency and avoid duplication of effort.

Who: Director of Compliance

Timeline: Ongoing

- 4-8 Continue to build constructive relationships with the Governor's Office, Legislators and legislative staff.

Who: Commissioners, Executive Director, Director of Public Outreach

Timeline: Ongoing

Performance Measures

Goal: Identify and implement strategies to make enforcement efforts more effective; evaluate results.

Outcome: Percentage of candidates, political committees, lobbyists, and public officials who meet statutory filing deadlines

Efficiency: Number and percentage of routine investigations completed within 90 days

Goal:	Enhance public access and awareness of PDC reports and data through evolving technology.
Output:	Number of pages scanned for Internet access
Outcome:	Number of times the Commission's Internet site is accessed
Outcome:	Average number of days from receipt of electronically filed reports to posting on web site
Outcome:	Average number of days from receipt of paper filed reports to posting on web site
Outcome:	Number of campaigns using electronic filing
Outcome:	Number of lobbyists using electronic filing
Outcome:	Number of lobbyist employers using electronic filing
Outcome:	Number of officials using electronic filing for personal financial affairs reporting
Outcome:	Percentage of statewide executive, legislative and local candidates, by category, who file 1) paper reports and 2) electronically
Outcome:	Percentage of continuing committees that file 1) paper reports and 2) electronically
Outcome:	Percentage of lobbyists and lobbyist employers that file 1) paper reports and 2) electronically

Appraisal of External Environment

The workload of the Commission and the public's perception of how well the agency is performing are affected by a number of external factors.

1. Election cycles vary from year to year. For example, local elections are held in odd-numbered years, while state legislative races are held in even-numbered years, and races for the statewide executive offices are held every four years. Special elections for office may be held every year. Typically, there are more election campaigns in the odd-numbered years, approximately 3,000, while between 1,000 and 1,200 candidates seek office in even-numbered years. Furthermore, the number of statewide and local ballot measures before the voters varies greatly from year to year.

Although there may be more campaigns in the odd-numbered years, the contribution limits of Initiative 134 do not apply to candidates for local office, and thus the scope of the law that must be administered and enforced by the PDC during those election cycles is narrower than that applied to statewide executive and legislative candidates. However, in local election years, there are more first-time candidates who are frequently unfamiliar with the disclosure law's requirements.

2. The length of each legislative session. During the longer sessions in odd-numbered years, there are more lobbyist registrations and reports to process and monitor for compliance.

3. The number of complaints filed by members of the public, "citizen actions" filed with the Attorney General (but investigated and, if necessary, adjudicated under chapter 34.05 RCW by PDC), and public records requests filed in connection with enforcement matters and otherwise. These are all matters over which the Commission has no control, but which, for the most part, are extremely time consuming and require prompt attention.

The number of complaints filed by the public has risen steadily since the enactment of Initiative 134. In FY 1992, 33 complaints were filed by the public compared to 130 in FY 2000, 116 in FY 2001, and 71 in FY 2002. Not only is the sheer number of cases increasing, but the investigative and enforcement proceedings that follow from these complaints are becoming increasingly longer and more complex in nature, and often result in appeals through the judicial system.

Complainants, respondents, and others who follow the Commission's enforcement cases also serve the agency with public records requests that may cover ten or twenty years worth of documents numbering in the thousands. The inability to promptly provide access to these documents can, as was the case in July of 1998, result in penalties and attorneys fees being assessed against the Commission.

The Commission has also seen an increase in the number of "citizen's actions" being filed. Fourteen were filed between September 1996 and February 2002, about four times the total number filed during the first twenty years of the law's existence. These are especially taxing on agency resources because of the strict timelines involved. RCW 42.17.400 allows any person to file a "citizen's action" in superior court to enforce the Public Disclosure Law if that person has given the Attorney General and county prosecutor 45 days notice and the officials have declined to act. Although the statute requires notice to be filed with the Attorney General and prosecutors, the PDC, as a practical matter, is brought into these cases. The Attorney General's office relies on the PDC to provide advice and investigate the allegations, and the PDC is billed by the AG's office for its work on these cases.

The filing of a citizen's action, with its strict deadlines, taxes the limited resources of the PDC, often requiring two or more staff investigators, and jeopardizes the agency's ability to set its own priorities. This pressure is intensified by the provision that taxpayer money be used to reimburse a complainant who prevails for costs and attorneys' fees.

4. Court challenges to campaign finance laws. Notwithstanding the fact that Initiative 276 became law in 1973 and Initiative 134 was effective in 1992, PDC is devoting considerable public resources to defending long-standing interpretations of these citizen initiatives. One current legal challenge would seriously hamper PDC's ability to strictly enforce the prohibition against using public resources to support or oppose candidates or ballot measures. Another seeks to overturn an eight year old rule that clarifies when local units of membership organizations maintain separate contribution limits (rather than sharing one limit with their parent organization). These two legal actions against PDC come on the heels of a July 2000 Washington State Supreme Court ruling against the agency that found it was unconstitutional to not permit political parties to pay for issue ads with exempt funds (i.e., soft money).

A trend is emerging wherein persons who perceive themselves as disadvantaged by provisions of the campaign practices and disclosure law are turning to the courts for relief.

5. Relationships with public officials. The Commission must strike a balance between maintaining an open and beneficial working relationship with the Governor, the Legislature, the Attorney General and other public officers and agencies, while fully and fairly enforcing the law that regulates candidates for those offices, incumbents holding those positions, and the lobbying activity of state and local agencies.

Of primary sensitivity is the fact that the PDC is responsible for regulating candidates for, and members of, the State Legislature notwithstanding the fact that it is the Legislature that sets the Commission's budget and has the responsibility to prescribe the Commission's authority. The PDC, perhaps more than any other agency, risks alienating legislators through the exercise of its authority since Commission action may have a direct, personal impact on members of the Legislature.

The PDC also regulates local officeholders and others within the political system who have access to state officials, such as lobbyists, PAC's, political parties, and contributors.

PDC commissioners and staff must be aware and sensitive to the political environment in which they function, but not intimidated or swayed by it.

6. Relationships with the media. As representatives of the public, the media is the Commission's "biggest customer" in seeking access to campaign information collected and disseminated by the agency. Journalists are also intensely interested in PDC investigations, enforcement hearings, and policies, since they often involve high-profile officeholders and candidates.

Because of their coverage of candidates and officials, the press becomes intimately familiar with the work of the agency, and this scrutiny tends to extend to the operations of the Commission as a whole. It's the PDC that becomes newsworthy, not just the candidates or lobbyists it tracks.

PDC personnel must be ever mindful of the fact that the people and entities about whom the agency makes decisions are in the public eye and their reputation has a direct impact

on their professional and political careers. Any mistake a staff member makes in advising or investigating persons subject to the law, or even handling their paperwork, may have significant and lasting consequences for that person's career, credibility, and future. In turn, these same mistakes may also have formidable consequences for the agency itself.

7. Relationships with filers. Since its inception, PDC has emphasized customer assistance and training as the primary means for fostering compliance with the law, believing that the vast majority of filers will comply if they know how.

In some respects, when filing meant putting pen to paper and filling in the blanks, it was easier for people not formally schooled in computing. Admittedly, for campaign treasurers it meant manually adding up contributor aggregate totals and keeping paper records, but filing took no special skill or equipment, just time and commitment.

With the advent of electronic filing, a new dimension has been added. Now hundreds of filers not only need to know what the law requires of them, many of them also need help setting up their computer systems, properly entering data and generating reports. On the days immediately preceding and following filing day, to say nothing of filing day itself, PDC information technology staff literally spend eight to ten hours on the telephone and responding to email messages from often frustrated, sometimes desperate, treasurers and accountants. Electronic filing, for all its benefits – and there are many – can add increased tension and stress to an already demanding disclosure requirement. Care must be taken in order that employees are not overtaxed, while, to the maximum extent possible, filers receive prompt and courteous assistance.

Trends in Customer Characteristics

The most significant trend is that an increasing number of filers and members of the public have access to ever-evolving technological resources and they rightfully expect PDC to utilize the latest technology to meet their needs. This trend requires the Commission to continuously re-examine the ways in which it can best reach and serve these customers, while also recognizing that other customers are less technologically sophisticated and need considerable one-on-one assistance and very intuitive computing products to be successful.

In the 1999-2001 Supplemental Budget, the PDC was appropriated an additional \$674,000 to implement E2SSB 5931, which passed in 1999, and SB 6775, which became law in June of 2000. This legislation mandated PDC to host a Website that provided easy public access to newly filed disclosure reports and data, to offer electronic filing alternatives to filers, and to implement mandatory electronic filing for many candidates and political committees.

Specifically, this funding allowed the agency to acquire a Chief Technology Officer, three other IT professionals, and an additional data entry position. Funding was also included for upgrading scanning software and equipment, revising the existing campaign electronic filing system, and developing new electronic filing systems for lobbyists and lobbyist employers.

These investments have permitted the Public Disclosure Commission to meet public and legislative demands for quick access to critical information about political spending in Washington State. The public is now able to “follow the money” and do so in a technologically advanced manner. These investments have also helped filers comply with the law, improved the agency’s overall efficiency through application of modern hardware and software, and given the agency the ability to better communicate with the people it serves.

However, this relatively newly acquired dependence on technology means there is a concomitant need for funding to maintain and upgrade the agency’s hardware and software products so that they are as reliable and secure as possible. The funding that was authorized in the last biennium for information technology equipment did not include dollars for this critical and unavoidable expense. Resources are being sought in this budget submission for software maintenance and support.

Strategies

The PDC will:

- Educate and advise persons subject to the Law about reporting requirements, contributions limits, and other requirements and prohibitions found in the Law using the most cost-efficient methods available, including Internet supported training options.
- Offer filers different methods, of varying technological sophistication, by which they can file required reports.
- Promulgate rules and policies, in accordance with Executive Order 97-02, and issue advisory opinions, to address issues of interpretation that arise under the Law.
- Provide different methods, of varying technological sophistication, for the public to access filings, data, and other material.
- Act in a fair, impartial and efficient manner to secure compliance with the Law and, when necessary, conduct investigations, hold enforcement hearings, and issue penalties for noncompliance.
- Seek legislative approval for increasing the Commission’s penalty authority and for additional resources to sustain the agency’s information technology infrastructure.

Financial Plan Assessment

As is demonstrated by the agency’s activity inventory report, PDC spends 63% of its resources for expenditures related to providing the public with easy and reliable access to

timely political finance information. Another 23% is allocated for enforcement-related activities, including costs for investigations and legal services, with the remaining 14% being spent for administrative functions.

PDC's 2003-05 budget submission recognizes the agency's intrinsic, irrevocable dependence upon information technology (IT) to provide citizens with a host of PDC-related facts and documents, including:

- summary charts and comparisons;
- actual images of disclosure reports submitted by thousands of filers; and
- data base query results obtained from customized searches of data filed electronically by some 650 campaigns and input manually for state office candidates who are not required to file electronically.

Since 1999, when there was widespread legislative and public discontent with the agency's inability to consistently deliver Internet access to timely information, great strides have been made. After a supplemental budget infusion of \$674,000 in 2000, the acquisition of IT expertise, the rebuilding of the software and hardware infrastructure, and the development of integrated reporting systems, PDC has received national recognition as a leader in providing web accessible campaign disclosure data. This current level of service can only be sustained and augmented with the continued support of state policy makers.

PDC's Strategic Plan calls for enhancing public access and awareness of PDC reports and data through evolving technology.

It will not be possible to realize this goal unless adequate funds are committed to maintaining and upgrading the system currently in place, as well as establishing a backup, co-location site in order to accommodate more simultaneous usage of the system by filers and to provide an alternative infrastructure in the event of man-made or natural disasters.

PDC is statutorily mandated to operate a web site (RCW 42.17.367), receive electronic filings (RCW 42.17.3691) and make electronic and paper filings available on the Internet within specified time periods (RCW 42.17.460 and .461). However, the one-time funding provided by the Legislature in the 2000 supplemental budget for IT acquisitions did not provide the dollars for maintenance or renovation of the system. By July 1, 2003, without sufficient funds to sustain its current IT operations and accommodate technology changes as necessary, the agency will be increasingly at risk of not fulfilling its legal obligations. (See maintenance and performance level decision packages regarding information technology issues for more details.)

In addition to its goal of enhancing public access, the Commission has identified three other short and long-term goals:

- identifying and implementing strategies to make enforcement efforts more effective;
- implementing standardized communication practices; and
- increasing the capacity of Commission members and staff to meet future challenges.

Appendix C Section 3 Detail - Agency Technology Infrastructure

Current and Projected IT Budget

Reporting Period	Total Agency IT Budget	Hardware Purchase and/or Lease	Software Purchase and/or Lease	H/W Repairs and Maintenance	S/W Enhancements and Maintenance
Fiscal Year 04	669,345	150,000	40,000	18,000	22,000
Fiscal Year 04	(Actuals)	(Actuals)	(Actuals)	(Actuals)	(Actuals)
Fiscal Year 05	514,517	0	40,172	15,000	20,000

Reporting Period	Telecommunications	Data Processing Services (e.g. DIS services)	If applicable, list & identify other major IT expenses here
Fiscal Year 04	30,015	1,750	
Fiscal Year 04	(Actuals)	(Actuals)	
Fiscal Year 05	30,015	1,750	

IT Personnel

Reporting Period	Total Agency IT FTEs (include WMS positions)	Salaries and Benefits	Personal and Purchased Services	Professional Development of IT Staff
Fiscal Year 04	6	404,580	0	3,000
Fiscal Year 05	6	404,580	0	3,000
Fiscal Year 06	6	445,038	0	6,000

C. Personal and Workgroup Computing

Provide details in the following categories (Descriptions of each category are included below):

Indicate the fiscal year being reported: FY2004

Personal Computers

1. Total Agency FTEs 24.6 OFM allotted 22.7 funded	2. Total number of PCs (exclude servers) 68	3. Planned number of PCs replacements next fiscal year 0	4. Agency intended refresh cycle in months 24	5. PCs donated to schools in <u>last 12</u> months 0
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Servers

6. Total number of servers 7	7. Number of servers to be replaced next fiscal year 0	8. Number of servers planned to be added in next fiscal year 6	9. Factors driving server acquisition strategy Mirrored site, redundant service provision.
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Network Connectivity

10. % agency staff with Inside WA (intranet) access 0%	11. Agency primary network operating system Windows 2000
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Desktop Office Suite

12. Primary desktop office product suite? Office 2000	13. If not XML enabled do you plan to be within 12 months? (yes/no) Yes
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Category Descriptions

Personal Computers

1. What is the total agency FTE count? 24.6 allotted, 22.7 funded
2. How many personal computers (PCs) does the agency currently have (excluding servers)? 68
3. How many of these PCs does the agency plan on replacing in the next fiscal year? 0
4. If your agency has an established PC refresh cycle, what is the length of that cycle? 24 months
5. If your agency donates used PCs to schools, approximately how many were donated in the past 12 months? 0

Servers

6. How many servers does your agency currently lease or own? 7
7. How many of these current servers do you plan on replacing during the next fiscal year? 0
8. How many additional servers do you plan to purchase or lease during the next fiscal year? 6
9. Which of the following are driving your server acquisition strategy? (pick one or more)
 - Server consolidation
 - Increased application utilization
 - New application deployment
 - Disaster Recovery/Redundancy YES
 - Other

Networks

10. What percent of agency staff have access to the state intranet portal (Inside WA)? 0%
11. What is your agency's primary network operating system? Windows 2000

Desktop Office Suite

12. What office product suite does your agency use as its primary desktop tool? MS Office 2000
13. If desktop office suite is not XML enabled, do you plan on migrating to a version that is within the coming biennium? (yes/no) Yes

Personal and Workgroup Computing

1. What is total agency staffing in FTEs (as reported in OFM Data Book for the current biennium)? 24.6
2. How many personal computers (PCs) does the agency currently have (by generation- Pentium II, Pentium, 486, 386, other)? 5 Pentium 4, 62 Pentium III, 9 Pentium II, 1 Macintosh G3.
3. How many PCs does the agency plan to acquire during the next biennium?
 - Additions? (Additions involve procurements to add computers to serve an increase in the number of personnel.) 0
 - Replacements? (Replacements involve procurements to add capacity either to the existing processing capability or to more effectively network the agency.) 0
4. What percent of agency PCs are linked into local area networks (LANs)? 87%
5. What LAN network operating systems are currently employed?
 - Windows 2000 Advanced Server
6. What percent of agency PCs have Internet access? 87%

D.: Geographic Information Systems (GIS) Resources

Provide details in the following categories (Descriptions of each category are included below):

Indicate the fiscal year being reported: FY04

NO GIS Resources.

Security and Disaster Recovery/Business Resumption Plans

The Public Disclosure Commission's Security and Disaster Recovery/Business resumption plans are housed at the PDC office located at 711 Capitol Way South, Suite 206, Olympia, Washington 98504-0908 and are maintained by the Chief Technology Officer.

Public Access

The Public Disclosure Commission is one of few State of Washington agencies whose primary purpose is to enable public access to government information. In our specific case this means public access to campaign finance, lobbyist, lobbyist employer and personal financial affairs information. We have become a leader within the State of Washington and the Nation in providing information electronically and are using advanced technologies to automate previously manual processes, such as data entry, to provide faster real time access to this information.

Application (Systems) Information

Currently there are several "mission critical" applications per the specifications set forth in the DIS Portfolio Content Guidelines. Our agency's mission, goals and objectives are not commensurate with either the health or safety of public or state workers; income maintenance for citizens or government employees, payments to vendors for goods or services or the legal or fiscal integrity of state operations.

We do, however, have many production applications that assist us in meeting the requirements set forth in our mission, goals and legislative mandates. They are listed in the following matrices in sections 4 and 5.

Database Information

The agency currently has several mission critical databases' supporting commission applications. They all are running on MS SQL Server 2000 SP3.

1. WAPDC

- a. Supports Electronic and paper filings of campaign finance, lobbyist, lobbyist employer and Personal Financial Affairs information. Used for Internet Query system, Search Database feature of the PDC web site.
- b. contains campaign finance, lobbyist, lobbyist employer, and personal financial affairs data.
- c. Is housed on the commissions SQL server
- d. Is maintained by the IT Division
- e. Is 7.9GB in size
- f. Has over 720,000 records
- g. Records are added daily.
- h. The entire database is backed up daily to disk and magnetic tape media.

2. WAPDC_AUDIT

- a. Supports the ability to perform auditing against transactions in the main WAPDC database.
- b. Contains information on record insert, updates and deletions as transaction occur in the main WAPDC database.
- c. Is house on the commissions SQL server
- d. Is maintained by the IT Division
- e. Is 807MB in size
- f. Has over 276,000 records
- g. Records are added daily.
- h. The entire database is backed up daily to disk and magnetic tape media.

3. CARDIFF

- a. Supports forms based Internet electronic filing applications for Lobbyist, Lobbyist Employers and Personal Financial Affairs filers.
- b. Contains electronically submitted data from lobbyists, lobbyist employers and personal financial affairs filers.
- c. Is housed on the commissions SQL server.
- d. Is maintained by the IT Division
- e. Is 74 MB in size
- f. Has over 8,000 records
- g. Records are added daily.
- h. The entire database is backed up daily to disk and magnetic tape media.

Section 4 - Technology Investments /Project Summaries

Title	Description/Purpose	Cost Estimate	FTEs	Schedule	Scope	Business Driver/Strategy Supported	Executive Sponsor	Project Manager
Campaign Finance Electronic Filing System	An information technology system that provides electronic filing capabilities to candidates and continuing political committees to file required campaign finance disclosure forms over the Internet.	\$300,000	6	1/2001 through 12/2001	Organizational context has statewide impact for all candidates and continuing political committees. Risk is high No impact on, or relationship to, statewide infrastructure.	RCW 42.17.369 Electronic filing – Availability. (1) By July 1, 1999, the commission shall make available to candidates, public officials, and political committees that are required to file reports under this chapter an electronic filing alternative for submitting financial affairs reports, contribution reports, and expenditure reports, including but not limited to filing by diskette, modem, satellite, or the Internet.	Vicki Rippie Executive Director 360-586-4838 vrippie@pdc.wa.gov	Michael Smith Chief Technology Officer 360-586-8929 msmith@pdc.wa.gov
Lobbyist, Lobbyist Employer and Personal Financial Affairs Electronic Filing System	An information technology system that provides electronic filing capabilities to lobbyists, lobbyist employers and personal financial affairs filers the ability to file required disclosure forms over the Internet.	\$50,000	6	8/2001 through 3/2002	Organizational context has statewide impact for all lobbyists, lobbyist employers and personal financial affairs filers. Risk is high No impact on, or relationship to, statewide infrastructure.	RCW 42.17.369 Electronic filing – Availability. (2) By January 1, 2002, the commission shall make available to lobbyists and lobbyists' employers required to file reports under RCW 42.17.150 , 42.17.170 , 42.17.175 , or 42.17.180 an electronic filing alternative for submitting these reports including but not limited to filing by diskette, modem, satellite, or the Internet. (3) The commission shall make available to candidates, public officials, political committees, lobbyists, and lobbyists' employers an electronic copy of the appropriate reporting forms at no charge.	Vicki Rippie Executive Director 360-586-4838 vrippie@pdc.wa.gov	Michael Smith Chief Technology Officer 360-586-8929 msmith@pdc.wa.gov
Commission Internet web site		\$10,000	3	Ongoing	Organizational context has statewide impact for all public, press and external out of state organizations. Risk is high No impact on, or relationship to, statewide infrastructure.	RCW 42.17.367 Web site for commission documents. By February 1, 2000, the commission shall operate a web site or contract for the operation of a web site that allows access to reports, copies of reports, or copies of data and information submitted in reports, filed with the commission under RCW 42.17.040 , 42.17.065 , 42.17.080 , 42.17.100 , and 42.17.105 . By January 1, 2001, the web site shall allow access to reports, copies of reports, or copies of data and information submitted in reports, filed with the commission under RCW 42.17.150 , 42.17.170 , 42.17.175 , and 42.17.180 . In addition, the commission shall attempt to make available via the web site other public records submitted to or generated by the commission that are required by this chapter to be available for public use or inspection.	Vicki Rippie Executive Director 360-586-4838 vrippie@pdc.wa.gov	Michael Smith Chief Technology Officer 360-586-8929 msmith@pdc.wa.gov

Section 5 - Planned Investments /Projects

Title	Description/Purpose	Cost Estimate	FT Es	Schedule	Impact on existing investments	Scope	Business Driver/Strategy Supported	Executive Sponsor	Project Manager
WEDS Replacement Project	Replace the vendor derived campaign tracking and electronic filing product known as WEDS developed in 1996 and enhanced in 1998 using Microsoft FoxPro for Windows version 2.6a and COBOL for DOS.	Less than \$20,000.00 not including staff time and benefits.	6	The anticipated production iteration will be made available December 2003.	Nil	<p>The new client filing software that is currently in development will be the first software project completely designed in-house that the Public Disclosure Commission has undertaken.</p> <p>This software has been modeled and designed in UML to incorporate all of the existing WEDS features and functionality in addition to many other enhancements that will provide additional ease of use, administration and manageability.</p> <p>Specifically the electronic filing software will provide the ability for the average user to maintain compliance with the reporting requirements as specified in statute and be alerted when transactions are completed that are out of compliance. The end user will have the ability to use the software while "off line" or not connected to the internet. The user interface will be intuitive and easy to understand. The software will be platform independent and will run on Microsoft Windows based PC's as well as Macintosh and Unix based PC's.</p>	The primary business driver is to develop a product that is an agency asset, allowing complete control of the source code to make integrating new features and enhancements less costly. Secondly, to provide an updated end user product using current technologies that will be manageable, user friendly and less burdensome when changes and enhancements are required. Lastly, to develop a solution that is able to service a much wider diverse computing audience.	Vicki Rippie Executive Director 360-586-4838 vrippie@pdc.wa.gov	Michael Smith Chief Technical Officer 360-586-8900 msmith@pdc.wa.gov
Mirrored Infrastructure for Disaster Recovery and Business Resumption	Invest in information technology assets that will allow for routine maintenance as well as a redundant "warm site" back-up of current production infrastructure without impacting services to filers, the public and the press. This mirrored infrastructure will be the fail safe the PDC needs to continue to meet RCW 42.17.367, .369, and .461 in the event of a natural or man-made disaster.	\$272,000	2	The anticipated production deployment of the redundant technologies should be completed by June 30, 2005.		This project will allow the agency to acquire another complete set of server, network and firewall infrastructure as well as co-location facilities to house a mirrored "warm computing site" environment.	The Public Disclosure Commission is mandated by RCW 42.17.367, .369, and .461 to provide a public Internet web site that provides access to campaign finance, lobbyist and lobbyist employer information. There are additional mandates that require the commission to provide electronic filing capabilities free to filers of the commission and that this information be made available on the web site within specific timeframes. In order to continue to meet these legislative mandates without interrupting services during times of routine maintenance, natural or man-made disasters and to ensure ongoing security to protect the integrity of these critical systems, investments in redundant facilities and infrastructure must be made.	Vicki Rippie Executive Director 360-586-4838 vrippie@pdc.wa.gov	Michael Smith Chief Technical Officer 360-586-8900 msmith@pdc.wa.gov

Section 6 - Annual Technology Investment and Project Reviews

Security Verification Letter



STATE OF WASHINGTON
PUBLIC DISCLOSURE COMMISSION

711 Capitol Way Rm 206, PO Box 40908 * Olympia, Washington 98504-0908 * (360) 753-1111 * Fax (360) 753-1112
Toll Free 1-877-601-2828 * E-mail: pdcc@pdcc.wa.gov * Website: www.pdcca.wa.gov

September 11, 2003

The Information Services Board
Mr. Roy Lum, Liaison to the Board
Department of Information Services
Post Office Box 42445
Olympia, Washington 98504-2445

Dear Mr. Lum,

Thank you for your August 20, 2003 letter and for granting a two week extension on the deadline to submit the annual agency ISB policy compliance memo.

Please be informed that the agency's Information Technology Portfolio has been reviewed, updated and electronically submitted today to the Department of Information Services and is in compliance with the ISB policies, standards and guidelines for IT Portfolio Management.

The agency has also reviewed the current disaster recovery/business resumption plan and is in the process of updating it to meet ISB policies, standards and guidelines for disaster recovery/business resumption planning. This plan will be changing during the coming year as the agency proceeds with implementing a disaster recovery warm site.

The agency is currently in the process of arranging to have its IT Security Program audited. Every effort is being made to have the audit completed prior to the October 2003 deadline.

Should you have any questions regarding any of the aforementioned ISB compliance issues, please do not hesitate to contact me directly at (360) 586-4838.

Sincerely,

Vicki Rippie
Executive Director

*"The public's right to know of the financing of political campaigns and lobbying
and the financial affairs of elected officials and candidates far outweighs
any right that these matters remain secret and private."*

RCW 42.17.010 (10)

